

EXHIBIT 5



INDIVIDUAL (MU2) FORM FILING

An Individual (MU2) Form is a sub-form of the Company (MU1) and Branch (MU3) Forms, if applicable. If an individual is added into any of the following sections of the respective forms as identified below, an Individual (MU2) Form is generated and requires completion:

Company (MU1) Form	Branch (MU3) Form
<ul style="list-style-type: none"> • Direct Owner/Executive Officer (DO/EO) • Indirect Owner with Control (IO) • Qualifying Individual (QI) 	<ul style="list-style-type: none"> • Branch Manager


Company users have the ability to fill out all or any portion of the Individual (MU2) Form. Even if the company user completes all sections of the Form, the individual must perform a filing attestation by logging in to their established individual account. Individual attestation must be completed **before** the company can submit the Company (MU1) or Branch (MU3) Form.


Initiating an Individual (MU2) Form to be Completed/Amended:

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click **Company (MU1)** or **Branch (MU3)** from the sub-menu.
4. Click the **Create New Filing** button.

NOTE: If you do not see the **Create New Filing** button, you may already have a pending filing; in this instance, select the **Edit** icon (✎) to continue editing the Company (MU1) /Branch (MU3) Form, or the **Delete** icon (✖) to delete the pending filing.

5. Click *MU2 Forms* on the left navigation panel. If you do not see anyone listed in this section, you must add the individual(s) to the *DO/EO*, *IO*, *QI*, or *Branch Manager* sections as appropriate.
 - a. In order to add an individual, the individual must have an individual account and Company Access must be granted.
 - b. Companies can also be identified within the *DO/EO* section by clicking the **Add Company** button.
6. If the company user is going to complete portions of the Individual (MU2) Form, click the **Edit** icon (✎) and continue to Step 8.
7. If the individual is going to complete the Form, click the **Request Attestation** icon

 and continue to the instructions on Page 3.

6. and 7.	Name	Status
	Alvarado, John	Needs Attestation

8. After completing some or all of the Individual (MU2) Form sections, select *Attest and Submit*, the last link on the left navigation panel.
9. Click the **Request Attestation** button. This will electronically send the Individual (MU2) Form to the Individual's NMLS account for completion and/or attestation.

NOTE: If the following error message displays when clicking the Request Attestation icon or button, an individual account must be created in order to continue:

"The selected individual must create an Individual Account in NMLS to obtain a user name and password before the requested task can be completed. Contact the individual and ask him/her to notify you once the required Individual Account has been created. See the [Create an Individual Account Quick Guide](#) for instructions on creating an Individual Account."

10. Before the Company (MU1) or Branch (MU3) Forms can be submitted, the individual must log in to his or her individual account and complete and/or attest to their Individual (MU2) Form. This step must be completed by the individual. Further instructions on this process can be found on the [Individual \(MU2\) Form Attestation Quick Guide](#).
11. When the individual has attested to the Individual (MU2) Form, continue to the [Submitting the Company \(MU1\) or Branch \(MU3\) Form](#) section of this guide below.

Submitting the Company (MU1) or Branch (MU3) Form:

After the individual completes their attestation to the Individual (MU2) Form, the company user will receive an email notification from the system. After you receive this email, you must log back in to the company account and complete the Company (MU1) or Branch (MU3) Form submission.

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click **Company (MU1)** or **Branch (MU3)** from the sub-menu.
4. Click the **Edit** icon (✎).
5. Select *Attest and Submit*, the last link on the left navigation panel.
6. After reviewing the attestation language, select the checkbox next to *I verify that I am the named person above and agree to the language as stated.*
7. Click the **Attest and Submit** button.

Attest and Submit

Alvarado Mortgage Co. (1132) MU1 filing created 12/26/2013 by AlvaradP.
? HELP

Please be aware that certain information from this filing and related to your licenses/registrations will be considered public. For details on what is considered public, click here.

Completeness Checks

All completeness checks are clear. You can attest to the filing below for submission.

Subject	Fee Type	Amount
Vermont Commercial Lender License	Application Fee	\$500.00
Vermont Commercial Lender License	License/Registration Fee	\$500.00
Vermont Commercial Lender License	NMLS Processing Fee	\$100.00
Total Charges		\$1,100.00

Note: This invoice must be paid through NMLS and NMLS will process your payment. If paying by credit card, a 2.5% service fee will be charged in addition to the invoiced amount. To pay this invoice, click **Pay Invoice** below.

I **Paola Alvarado** of **Alvarado Mortgage Co. (1132)** (Applicant) on this date **Thursday, December 26, 2013** swear (or affirm) as follows, that I executed this form on behalf, and with the authority, of said Applicant and said Applicant agrees to and represents the following:

(1) That the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part of this application, are current, true and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law;

(2) To the extent any information previously submitted is not amended, such information remains accurate and complete;

(3) To the extent any information submitted is part of an advance change notice with a delayed effective date, such information is accurate and complete as of this submission;

(4) That the jurisdiction(s) to which an application is being submitted may conduct any investigation into the background of the applicant, and any related individuals or entities, in accordance with all laws and regulations for purposes of making a determination on the application;

(5) To keep the information contained in this form current and to file accurate supplementary information on a timely basis; and

(6) To comply with the provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of business for which the applicant is applying.

If the Applicant has knowingly made a false statement of a material fact in this application or in any documentation provided to support the foregoing application, then the foregoing application may be denied.

☐ I verify that I am the named person above and that I am authorized to attest to and submit this filing on behalf of the Applicant.

Attest and Submit

For help with system navigation, contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).